

412 Rec'd PCT/PTO 17 APR 2000

#6

EXPRESS MAIL CERTIFICATE

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DATE OF DEPOSIT 4/17/00

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29 NOV 2001

Legal Staff
International Division

TYPE OF DOCUMENT Missing Requirements

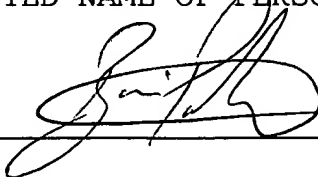
SERIAL NO. 091462337

FILING DATE 11/5/1998

I HEREBY CERTIFY THAT THIS PAPER OR FEE IS BEING DEPOSITED WITH THE UNITED STATES POSTAL SERVICE "EXPRESS MAIL POST OFFICE TO ADDRESSEE" SERVICE UNDER 37 CFR 1.10 ON THE DATE INDICATED ABOVE, BY BEING HANDED TO A POSTAL CLERK OR BY BEING PLACED IN THE EXPRESS MAIL BOX BEFORE THE POSTED DATE OF THE LAST PICK UP, AND IS ADDRESSED TO THE ASSISTANT COMMISSIONER FOR PATENTS, WASHINGTON, D.C. 20231.

BORIS POLANCO

(TYPED OR PRINTED NAME OF PERSON MAILING PAPER OR FEE)



(SIGNATURE OF PERSON MAILING PAPER OR FEE)

2223441223545

Case No. 2345/110 Atty. RLM

Ser. No. 09/462,337 ~~Due~~ Date 4/17/00

The Impressed Mail Room date stamp acknowledges receipt of the date indicated of:

☒ response to missing Requirements

☐ Application

☐ Extension Request

☐ Amendment

☐ Priority Document

☐ Assignment

☐ Issue Fee

☐ Notice of Appeal

☒ Declaration & Power of Attorney

☒ Prior Art Statement (3 ref)

☐ Small Entity

☐ Appeal Brief

☒ Dep Acct # 11-0600

☒ Notification of Missing Requirements

☒ Notification of a Defective oath or Declaration

☒ Supplemental Information Disclosure and Form

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PATENT
2345/110

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of : Klaus-Peter ZEFFLER et al.
International Application No. : EP98/02737
International Filing Date : 11 May 1998
U.S. Serial No. : 09/462,337
For : METHOD FOR TRANSMITTING
SIGNALING AND CONTROL
INFORMATION FOR WAVELENGTH-
DIVISION MULTIPLEX NETWORKS
FOR USE IN OPTICAL, FIBER-BOUND
INFORMATION TRANSFER

RECEIVED
29 NOV 2001
Legal Staff
International Division

Assistant Commissioner
for Patents
Box PCT
Washington, D.C. 20231

Attention: DO/EO/US

**RESPONSE TO MISSING REQUIREMENTS
UNDER 35 U.S.C. 371**

S I R :

In response to the Notification of Missing Requirements Under 35 U.S.C. 371 in the United States Designated/Elected Office (DO/EO/US) (mailed March 1, 2000), Applicant submits herewith a fully executed Declaration in order to complete the filing requirements for the U.S. national phase of the above-identified PCT application. The application filed in the Patent Office is the application which the inventor executed by signing the Declaration and Power of Attorney. A copy of the Notification of Missing Requirements is enclosed.

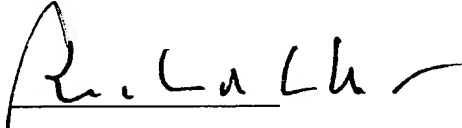
Applicant respectfully petitions for a one-month extension of time to respond to the Notification of Missing Requirements mailed March 1, 2000, for which a one-month period for response was set. The one-month extended period expires on May 1, 2000.

The Office is authorized to charge the \$130.00 fee to cover the surcharge for late filing of the Declaration to Deposit Account No. 11-0600.

Please charge the extension fee of \$110.00, and any additional fees that may be required by this paper, to Deposit Account No. 11-0600. A duplicate of this Request is enclosed.

Respectfully submitted,

KENYON & KENYON

A handwritten signature in black ink, appearing to read "R. L. Mayer", with a horizontal line drawn underneath the signature.

Richard L. Mayer
Reg. No. 22,490
One Broadway
New York, NY 10004

Date: April 17, 2000

Tel: (212) 425-7200
Fax: (212) 425-5288



UNITED STATES DEPARTMENT OF COMMERCE
Patent and Trademark

Address: ASSISTANT COMMISSIONER FOR PATENTS
Box PCT
Washington, D.C. 20231

09/01/97 23357
U.S. APPLICATION NO.

FIRST NAMED APPLICANT

ATTY. DOCKET NO.

KENYON & KENYON
ONE BROADWAY
NEW YORK NY 10004

5071

INTERNATIONAL APPLICATION NO. 027/87

I.A. FILING DATE 11/9 PRIORITY DATE 7/15/97

03/01/00

DATE MAILED:

NOTIFICATION OF MISSING REQUIREMENTS UNDER 35 U.S.C. 371 IN THE UNITED STATES DESIGNATED/ELECTED OFFICE (DO/EO/US)

1. The following items have been submitted by the applicant or the IB to the United States Patent and Trademark Office as:
- ☐ a Designated Office (37 CFR 1.494),
 - ☒ an Elected Office (37 CFR 1.495):
 - ☒ U.S. Basic National Fee.
 - ☒ Copy of the international application in:
 - ☒ a non-English language.
 - ☐ English.
 - ☒ Translation of the international application into English.
 - ☐ Oath or Declaration of inventors(s) for DO/EO/US.
 - ☐ Copy of Article 19 amendments.
 - ☐ Translation of Article 19 amendments into English.
 - ☐ The International Preliminary Examination Report in English and its Annexes, if any.
 - ☐ Translation of Annexes to the International Preliminary Examination Report into English.
 - ☒ Preliminary amendment(s) filed 02 JAN 00 and
 - ☒ Information Disclosure Statement(s) filed 02 JAN 00 and
 - ☐ Assignment document.
 - ☐ Power of Attorney and/or Change of Address.
 - ☐ Substitute specification filed
 - ☐ Statement Claiming Small Entity Status.
 - ☒ Priority Document.
 - ☒ Copy of the International Search Report ☐ and copies of the references cited therein.
 - ☐ Other:
2. The following items **MUST** be furnished within the period set forth below in order to complete the requirements for acceptance under 35 U.S.C. 371:
- ☐ a. Translation of the application into English. Note a processing fee will be required if submitted later than the appropriate 20 or 30 months from the priority date.
 - ☐ The current translation is defective for the reasons indicated on the attached Notice of Defective Translation.
 - ☐ b. Processing fee for providing the translation of the application and/or the Annexes later than the appropriate 20 or 30 months from the priority date (37 CFR 1.492(f)).
 - ☐ c. Oath or declaration of the inventors, in compliance with 37 CFR 1.497(a) and (b), identifying the application by the International application number and international filing date.
 - ☒ The current oath or declaration does not comply with 37 CFR 1.497(a) and (b) for the reasons indicated on the attached PCT/DO/EO/917.
 - ☒ d. Surcharge for providing the oath or declaration later than the appropriate 20 or 30 months from the priority date (37 CFR 1.492(e)).
3. Additional claim fees of \$ _____ as a ☐ large entity ☐ small entity, including any required multiple dependent claim fee, are required. Applicant must submit the additional claim fees or cancel the additional claims for which fees are due (37 CFR 1.492(g)). See attached PTO-875.

ALL OF THE ITEMS SET FORTH IN 2(a)-2(d) AND 3 ABOVE MUST BE SUBMITTED WITHIN ONE MONTH FROM THE DATE OF THIS NOTICE OR BY ☐ 21 OR ☒ 31 MONTHS FROM THE PRIORITY DATE FOR THE APPLICATION, WHICHEVER IS LATER. FAILURE TO PROPERLY RESPOND WILL RESULT IN ABANDONMENT.

The time period set above may be extended by filing a petition and fee for extension of time under the provisions of 37 CFR 1.136(a).

4. Translation of the Annexes **MUST** be submitted no later than the time period set above or the annexes will be cancelled. Note processing fee will be required if submitted later than 30 months from the priority date.
5. ☐ The Article 19 amendments are cancelled since a translation was not provided by the appropriate 20 (37 CFR 1.494(d)) or 30 (37 CFR 1.495(d)) months from the priority date.

Applicant is reminded that any communication to the United States Patent and Trademark Office must be mailed to the address given in the heading and include the U.S. application no. shown above. (37 CFR 1.5)

A copy of this notice MUST be returned with this response.

Enclosed: ☒ PCT/DO/EO/917
☐ PTO-875

☐ Notice of Defective Translation

FORM PCT/DO/EO/905 (December 1997)

Telephone: (703)

RECEIVED
KENYON & KENYON
ONE BROADWAY
NEW YORK, N.Y.
MAR 3 11 59 AM '00

Mamie Person EL234412235US



UNITED STATES DEPARTMENT OF COMMERCE
Patent and Trademark Office
Address: ASSISTANT COMMISSIONER FOR PATENTS
Washington, D.C. 20231

09/462337
U.S. APPLICATION NO.
09/462,337

ZEFFLER

FIRST NAME APPLICANT

ATTY. DOCKET NO.

K 2345/110

INTERNATIONAL APPLICATION NO.

PCT/EP98/02737

I.A. FILING DATE

PRIORITY DATE

05/11/98

07/15/97

03/01/00

DATE MAILED:

KENYON & KENYON
ONE BROADWAY
NEW YORK NY 10004

5071

NOTIFICATION OF A DEFECTIVE OATH OR DECLARATION

This application fails to contain an oath or declaration acceptable under 35 U.S.C. 371 (c)(4) for entry into the national stage in the United States of America. The period within which to correct these requirements and avoid abandonment is set in the accompanying Office action.

A new oath or declaration, identifying this application by the international application number and international filing date is required. The oath or declaration does not comply with 37 CFR 1.497(a) and (b) in that it:

1. ☒ is not executed in accordance with either 37 CFR 1.66 or 37 CFR 1.68.
2. ☐ does not identify the specification to which it is directed.
3. ☐ does not identify the inventor(s).
4. ☐ does not identify the citizenship of each inventor.
5. ☐ does not state the person making the oath or declaration believes the named inventor or inventors to be the original and first inventor or inventors of the subject matter which is claimed and for which a patent is sought.

FAILURE TO SUBMIT AN OATH OR DECLARATION IN COMPLIANCE WITH 37 CFR 1.497(a) AND (b) WITHIN THE TIME PERIOD SET WILL RESULT IN FAILURE TO ENTER THE NATIONAL STAGE AND THE ABANDONMENT OF THE APPLICATION.

Additionally, the oath or declaration does not comply with 37 CFR 1.63 in that it:

1. ☐ does not identify the city and state or city and foreign country of residence or each inventor.
2. ☐ does not state that the person making the oath or declaration:
 - a. ☐ has reviewed and understands the contents of the specification, including the claims, as amended by any amendment specifically referred to in the oath or declaration.
 - b. ☐ acknowledges the duty to disclose information which is material to patentability as defined in 37 CFR 1.56.
3. ☐ does not identify the foreign application for patent or inventor's certificate on which priority is claimed pursuant to 37 CFR 1.55, and any foreign application having a filing date before that of the application on which priority is claimed, by specifying the application serial number, country, day, month, and year of its filing.
4. ☐ does not state that the person making the oath or declaration acknowledges the duty to disclose information which is material to patentability as defined in 37 CFR 1.56 which became available between the filing date of the prior application and filing date of the continuation in part application which discloses and claims subject matter in addition to that disclosed in the prior application (37 CFR 1.63(d)).

M. Brown
Telephone: (703) 3053737